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**TRANSMITTAL LETTER**  
**INFORMATION DISCLOSURE STATEMENT**

Applicant : Yu et al.  
App. No : 10/802,153  
Filed : March 17, 2004  
For : SELF-EMULSIFYING COMPOSITIONS,  
METHODS OF USE AND  
PREPARATION  
Examiner : Unassigned  
Art Unit : 1751

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence and all marked attachments are being deposited with the United States Postal Service as first-class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on

July 17, 2006

(Date)

*Christopher T. Sweeney*  
Christopher T. Sweeney, Reg. No. 58,110

**Mail Stop Amendment**

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Dear Sir:

Enclosed for filing in the above-identified application are:

- (X) An Information Disclosure Statement and PTO/SB/08 equivalent listing references for consideration:
  - (X) Listing 13 references.
  - (X) Enclosing 1 references.
- (X) The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Account No. 11-1410.
- (X) Return prepaid postcard.

*Christopher T. Sweeney*  
Christopher T. Sweeney  
Registration No. 58,110  
Attorney of Record  
Customer No. 20,995  
(619) 235-8550



## INFORMATION DISCLOSURE STATEMENT

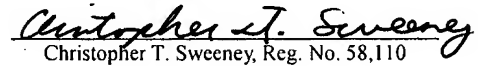
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COMPOSITIONS, METHODS OF USE  
AND PREPARATION  
Examiner : Unassigned  
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(Date)

  
Christopher T. Sweeney, Reg. No. 58,110

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P.O. Box 1450  
Alexandria, VA 22313-1450

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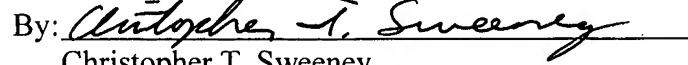
Enclosed is a PTO/SB/08 Equivalent listing 13 references. References numbered 1-12 are of record in U.S. patent application No. 10/392,75, filed March 18, 2003, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Accordingly, copies of references numbered 1-12 are not submitted pursuant to 37 C.F.R. § 1.98(d).

This Information Disclosure Statement is being filed before the receipt of a first Office Action on the merits, and presumably no fee is required. If a first Office Action on the merits was mailed before the mailing date of this Statement, the Commissioner is authorized to charge the fee set forth in 37 C.F.R. § 1.17(p) to Deposit Account No. 11-1410.

Respectfully submitted,

KNOBBE, MARTENS, OLSON & BEAR, LLP

Dated: 7/17/06

By:   
Christopher T. Sweeney  
Registration No. 58,110  
Attorney of Record  
Customer No. 20,995  
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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Multiple sheets used when necessary)

SHEET 1 OF 1

|                      |                |
|----------------------|----------------|
| Application No.      | 10/802,153     |
| Filing Date          | March 17, 2004 |
| First Named Inventor | Zhi-Jian Yu    |
| Art Unit             | 1751           |
| Examiner             | Unassigned     |
| Attorney Docket No.  | AMOINC.001CP1  |

## U.S. PATENT DOCUMENTS

| Examiner Initials | Cite No. | Document Number<br>Number - Kind Code (if known)<br>Example: 1,234,567 B1 | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant | Pages, Columns, Lines Where<br>Relevant Passages or Relevant<br>Figures Appear |
|-------------------|----------|---|--------------------------------|-------------------------------|--|
|                   | 1.       | 4,818,614   | 04-1989                        | Fukui et al.                  |  |
|                   | 2.       | 6,121,313   | 09-2000                        | Parikh et al.                 |  |
|                   | 3.       | 6,531,139   | 03-11-2003                     | Gao et al.                    |  |
|                   | 4.       | 6,599,527   | 07-2003                        | Leigh et al.                  |  |
|                   | 5.       | 6,979,456   | 12-2005                        | Parikh et al.                 |  |
|                   | 6.       | 2003/0027858 A1   | 02-06-2003                     | Lambert et al.                |  |
|                   | 7.       | 2004/0137079  | 07-15-2004                     | Cook et al.                   |  |
|                   | 8.       | 2005/0196370  | 09-2005                        | Yu et al.                     |  |
|                   |          |   |                                |                               |  |

## FOREIGN PATENT DOCUMENTS

| Examiner Initials | Cite No. | Foreign Patent Document<br>Country Code-Number-Kind Code<br>Example: JP 1234567 A1 | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant | Pages, Columns, Lines<br>Where Relevant Passages or<br>Relevant Figures Appear | T <sup>1</sup> |
|-------------------|----------|--|--------------------------------|-------------------------------|--|----------------|
|                   | 9.       | EP 1 142 566 A1  | 10-10-2001                     | Europe                        |  |                |
|                   | 10.      | WO 91/12808  | 09-05-1991                     | WIPO                          |  |                |
|                   | 11.      | WO 2004/082625   | 09-30-2004                     | WIPO                          |  |                |
|                   |          |  |                                |                               |  |                |
|                   |          |  |                                |                               |  |                |
|                   |          |  |                                |                               |  |                |

## NON PATENT LITERATURE DOCUMENTS

| Examiner Initials | Cite No. | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>1</sup> |
|-------------------|----------|---|----------------|
|                   | 12.      | Schaumburg et al. (2003) Prevalence of dry eye syndrome among US women. Am J Ophthalmol 136(2):318-26.  |                |
|                   | 13.      | Saettone et al. (2001) Ophthalmic emulsions and suspensions. J. Toxicol.-Cut. & Ocular Toxicol. 20(2&3):183-201.  |                |
|                   |          |   |                |
|                   |          |   |                |

2645353/bab/060106

Examiner Signature

Date Considered

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

T<sup>1</sup> - Place a check mark in this area when an English language Translation is attached.